



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/665,656	09/18/2003	Carol Ann Egan	ROC920030111US1	8562
30206 7590 01/16/2007 IBM CORPORATION ROCHESTER IP LAW DEPT. 917 3605 HIGHWAY 52 NORTH ROCHESTER, MN 55901-7829			EXAMINER CHOU, ANDREW Y	
			ART UNIT	PAPER NUMBER
			2192	
SHORTENED STATUTORY PERIOD OF RESPONSE		MAIL DATE	DELIVERY MODE	
3 MONTHS		01/16/2007	PAPER	

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 10/665,656	Applicant(s) EGAN ET AL.	
	Examiner Andrew Y. Chou	Art Unit 2192	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 09/18/2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-54 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-54 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on _____ is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-54 have been examined. Claims 1, 30, and 54 are independent claims.

The priority date recognized for this application is 09/18/2003.

Oath/Declaration

2. The Office acknowledges receipt of a properly signed oath/declaration filed on 09/18/2003.

Claim Objections

3. Claim 35 is objected to because of the following informalities: Claim 35 is the same as Claim 34. Appropriate correction is required.

Claim Rejections - 35 USC § 112

4. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

5. Claims 16, 17, 21, and 43 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

Claims 16 and 17 recite the limitation "the computer software" in line 1 of both claims. There is insufficient antecedent basis for this limitation in the claims.

Claim 21 recites the limitation "the revision levels" in lines 2 and 3 of the claim. There is insufficient antecedent basis for this limitation in the claim.

Claim 43 recites the limitation "the revision levels" in lines 2 and 3 of the claim.

There is insufficient antecedent basis for this limitation in the claim.

Claim Rejections - 35 USC § 102

6. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

• A person shall be entitled to a patent unless –

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

7. Claims 1-54 are rejected under 35 U.S.C 102(a) as being anticipated by Cheng et al. US 6,457,706 B1 (hereinafter Cheng).

Claim 1:

Cheng discloses a method for providing autonomic, event-driven upgrade maintenance of one or more software modules residing on a computer system, the method comprising:

detecting a predefined triggering event on the computer system indicative of a potential maintenance issue (see for example page 4, [0050]);

connecting to an upgrade management server (see for example FIG. 1, item 102, and page 4, [0051], and related text) ;

creating on the upgrade management server a list of recommended upgrade modules to download to the computer system, the list based upon a set of selection policies (see for example FIG. 2, step 204, and related text);

Art Unit: 2192

downloading the list of recommended upgrade modules from the upgrade management server to the computer system (see for example FIG. 2, step 209, and related text); and selectively installing upgrade modules chosen from the list of recommended upgrade modules on the computer system (see for example FIG. 2, step 205, and related text).

Claim 2:

Cheng further discloses the method of claim 1, wherein the method further comprises the step of:

notifying a user of the status of the upgrade maintenance operation (see for example FIG. 2, step 207, and related text).

Claim 3:

Cheng further discloses the method of claim 1, wherein the predefined triggering event comprises a change to the hardware configuration of the computer system (see for example page 4, [0053]).

Claim 4:

Cheng further discloses the method of claim 1, wherein the predefined triggering event comprises a change to the software configuration of the computer system (see for example page 4, [0053]).

Claim 5:

Cheng further discloses the method of claim 1, wherein the predefined triggering event comprises exceeding a predefined error threshold on the computer system (see for example page 4, [0053]).

Claim 6:

Art Unit: 2192

Cheng further discloses the method of claim 1, wherein the predefined triggering event comprises exceeding a predefined performance threshold on the computer system (see for example page 4, [0053]).

Claim 7:

Cheng further discloses the method of claim 1, wherein the predefined triggering event comprises exceeding a predefined elapsed time since the last connection to the upgrade management server (see for example page 4, [0050], lines 2-7).

Claim 8:

Cheng further discloses the method of claim 1, wherein the steps of connecting to a upgrade management server and selectively installing the list of recommended upgrade modules are controlled by a set of user defined policies (see for example FIG. 2, item 207, and related text).

Claim 9:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes a preferred connection time (see for example page 4, [0050], lines 2-7).

Claim 10:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes the connection resource to be used (see for example page 4, [0055]).

Claim 11:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes the specification of computer system areas/software products to enable automatic application of upgrades (see for example page 4, [0055], lines 1-14).

Art Unit: 2192

Claim 12:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes a defined time to connect to the upgrade management server to check for upgrades (see for example page 4, [0050]).

Claim 13:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes a defined elapsed time interval for connecting to the upgrade management server to check for upgrades (see for example page 4, [0050], FIG. 2, step 220, "update process", and related text).

Claim 14:

Cheng further discloses the method of claim 8, wherein the set of user defined policies includes a notification list for e-mailing user of information and actions relative to the upgrade management process (see for example page 4, [0051], FIG. 3, item 307, "email address", and related text).

Claim 15:

Cheng further discloses the method of claim 8, wherein the set of user defined policies include a list of one or more upgrade management servers to be used for the upgrade management process (see for example FIG. 1, item 103, and related text).

Claim 16:

Cheng further discloses the method of claim 1, wherein the computer software comprises software applications (see for example FIG. 2, step 204, and related text).

Claim 17:

Art Unit: 2192

Cheng further discloses the method of claim 1, wherein, the computer software comprises operating systems (see for example FIG. 2, step 204, and related text).

Claim 18:

Cheng further discloses the method of claim 1, wherein the computer software comprises device drivers for installed hardware components (see for example FIG. 2, step 204, and related text).

Claim 19:

Cheng further discloses the method of claim 1, wherein the set of selection policies is sent from the computer system to the upgrade management server (see for example FIG. 2, steps 208, 214, and related text).

Claim 20:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules based upon a specific set of upgrades requested by the computer system (see for example FIG. 2, step 206, and related text).

Claim 21:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes comparing the revision levels of the one or more software modules residing on the computer system against the revision levels one or more software modules residing on the upgrade management server (see for example FIG. 10, step 1006, and related text).

Claim 22:

Art Unit: 2192

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by identifying modules associated with a hardware change on the computer system (see for example page 4, [0054]).

Claim 23:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by identifying software modules associated with a software change on the computer system (see for example page 4, [0054]).

Claim 24:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by identifying upgrades specifically associated with an error triggering event on the computer system (see for example FIG. 2, step 206, and related text).

Claim 25:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by identifying upgrades specifically associated with a performance triggering event on the computer system (see for example FIG. 2, step 206, and related text).

Claim 26:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by analyzing a problem

Art Unit: 2192

history provided by the computer system (see for example FIG. 2, step 206, and related text).

Claim 27:

Cheng further discloses the method of claim 19, wherein the set of selection policies includes creating the list of recommended upgrade modules by identifying compatible revision levels between two or more software modules included within the list of modules (see for example FIG. 2, step 205, and related text).

Claim 28:

Cheng further discloses the method of claim 1, wherein the step of downloading the list of recommended upgrade modules from the upgrade management server to the computer system further comprises the step of downloading the upgrade modules themselves from the upgrade management server to the computer system (see for example FIG. 2, step 209, and related text).

Claim 29:

Cheng further discloses the method of claim 1, wherein the step of selectively installing upgrade modules chosen from the list of recommended upgrade modules on the computer system further comprises the step of downloading any upgrade modules chosen from the list of recommended upgrade modules from the upgrade management server to the computer system prior to the install (see for example FIG. 2, steps 209, 211, and related text).

Claim 30:

Art Unit: 2192

This is the computer-readable program version of the claimed method discussed above (Claim 1), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 31:

This is the computer-readable program version of the claimed method discussed above (Claim 2), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 32:

This is the computer-readable program version of the claimed method discussed above (Claim 3), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 33:

This is the computer-readable program version of the claimed method discussed above (Claim 4), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 34:

This is the computer-readable program version of the claimed method discussed above (Claim 5), wherein all claim limitations have been addressed and/or covered in cited

Art Unit: 2192

areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 35:

This is the computer-readable program version of the claimed method discussed above (Claim 5), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 36:

This is the computer-readable program version of the claimed method discussed above (Claim 7), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 37:

This is the computer-readable program version of the claimed method discussed above (Claim 8), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 38:

This is the computer-readable program version of the claimed method discussed above (Claim 9), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Art Unit: 2192

Claim 39:

This is the computer-readable program version of the claimed method discussed above (Claim 10), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 40:

This is the computer-readable program version of the claimed method discussed above (Claim 11), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 41:

This is the computer-readable program version of the claimed method discussed above (Claim 12), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 42:

This is the computer-readable program version of the claimed method discussed above (Claim 13), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 43:

This is the computer-readable program version of the claimed method discussed above

Art Unit: 2192

(Claim 14), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 44:

This is the computer-readable program version of the claimed method discussed above (Claim 15), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 45:

This is the computer-readable program version of the claimed method discussed above (Claim 19), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 46:

This is the computer-readable program version of the claimed method discussed above (Claim 20), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 47:

This is the computer-readable program version of the claimed method discussed above (Claim 21), wherein all claim limitations have been addressed and/or covered in cited

Art Unit: 2192

areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 48:

This is the computer-readable program version of the claimed method discussed above (Claim 22), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 49:

This is the computer-readable program version of the claimed method discussed above (Claim 23), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 50:

This is the computer-readable program version of the claimed method discussed above (Claim 24), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng..

Claim 51:

This is the computer-readable program version of the claimed method discussed above (Claim 25), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Art Unit: 2192

Claim 52:

This is the computer-readable program version of the claimed method discussed above (Claim 26), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 53:

This is the computer-readable program version of the claimed method discussed above (Claim 27), wherein all claim limitations have been addressed and/or covered in cited areas as set forth above. Thus, accordingly, these claims are also anticipated by Cheng.

Claim 54:

Cheng discloses a method for deploying computing infrastructure, comprising integrating computer-readable code into a computing system, wherein the code in combination with the computing system is capable of providing autonomic, event-driven upgrade maintenance of one or more software modules residing on a computer system, the method comprising the steps of:

detecting a predefined triggering event on the computer system indicative of a potential maintenance issue (see for example page 4, [0050]);

connecting to an upgrade management server (see for example FIG. 1, item 102, and page 4, [0051], and related text);

Art Unit: 2192

creating on the upgrade management server a list of recommended upgrade modules to download to the computer system, the list based upon a set of selection policies (see for example FIG. 2, step 204, and related text);

downloading the list of recommended upgrade modules from the upgrade management server to the computer system (see for example FIG. 2, step 209, and related text); and selectively installing any upgrade modules chosen from the list of recommended upgrade modules on the computer system (see for example FIG. 2, step 205, and related text).

Conclusion

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Andrew Y. Chou whose telephone number is (571) 272-6829. The examiner can normally be reached on Monday-Friday, 8:00 am – 4:30 pm. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Tuan Q. Dam, can be reached on (571) 272-3695.


The fax phone number for the organization where this application or proceeding is assigned is (571) 273 8300.

Art Unit: 2192

Any inquiry of a general nature of relating to the status of this application or proceeding should be directed to the TC 2100 Group receptionist whose telephone number is (571) 272 2100.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll free).

AYC



TUAN DAM
SUPERVISORY PATENT EXAMINER